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| APPLICATION NO.  | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO.     | CONFIRMATION NO.       |
|--|-------------|----------------------|-------------------------|------------------------|
| 10/619,097   | 07/14/2003  | John Irving          | 28849/09214             | 5804                   |
| 27530 7590 11/10/2009<br>Nelson Mullins Riley & Scarborough LLP<br>IP Department<br>100 North Tryon Street<br>42nd Floor<br>Charlotte, NC 28202-4000 |             |                      | EXAMINER<br>VIG, NARESH |                        |
|  |             |                      | ART UNIT<br>3629        | PAPER NUMBER           |
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**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

### Office Action Summary

**Application No.**

10/619,097

**Applicant(s)**

IRVING ET AL.

**Examiner**

NARESH VIG

**Art Unit**

3629

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 18 August 2009.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 2-15 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 2-15 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO/SF/ICE)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_

### **DETAILED ACTION**

This is in reference to communication received 18 August 2009. Claims 2 – 15 are pending for examination.

#### ***Response to Arguments***

Applicant's arguments and concerns are for amended claims which have been responded to in response to the pending amended claims.

#### ***Double Patenting***

Claims 2 – 3 and 5 are provisionally rejected on the ground of nonstatutory obviousness-type double patenting as being unpatentable over claims 2 – 4 of copending Application No. 10/619,099. Although the conflicting claims are not identical, they are not patentably distinct from each other because instant application and the copending application both claim the same invention of defining a plurality of levels, establishing a hierarchy for the plurality of levels, and creating a user account associated with the at least one of the plurality of levels.

This is a provisional obviousness-type double patenting rejection because the conflicting claims have not in fact been patented.

***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 2 – 15 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. As currently claimed, it is not clear whether the claimed invention is directed creating of user accounts with a level of filtering of contents, or, it is directed to monitoring and filtering of contents accessed by the users based on their user account, or, it is directed to monitoring and filtering of emails accessed by users, or, something else.

***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 2 – 15 are rejected under 35 U.S.C. 103(a) as being unpatentable over Parker US Publication 2003/0207245 in view of Shannon US Patent 6,233,618 and an article Netopia to Bring Parental Control, Content Filtering and Family Security Services to Broadband Service Providers hereinafter known as Netopia.

Regarding claim 2, as best understood by examiner, Parker teaches system and method of providing online distance learning. Parker teaches capability of data transmission in a multi-level system for a plurality of users (Staff, Professors, TA's, End Users) [Parker, Fig. 1 and disclosure associated with the Figure]. Parker does not explicitly teach filtering and monitoring of data transmission. However, Shannon teaches system and method for filtering and monitoring of data transmission [Shannon, Fig. 2 and disclosure associated with the Figure].

Therefore, at the time of invention, it would have been obvious to one of ordinary skill in the art to modify Parker by adopting teachings of Shannon to provide access control not primarily upon content, but rather, based upon the requests made by whom, at what times [Shanon, col. 4, lines 26 – 30]; apply a known technique to a known device (method, or product) ready for improvement to yield predictable results; and also, known work in one field of endeavor may prompt variations of it for use in either the same field or a different one based on design incentives or other market forces if the variations would have been predictable to one of ordinary skill in the art.

Parker in view of Shannon does not explicitly recite monitoring and filtering of web content by users based on their user id. However, Netopia teaches concept and capability of providing monitoring and filtering of web access based on user ID of the user (Parental Control) to enable Service Providers increase revenue and reduce costs while improving end-user satisfaction.

Therefore, at the time of invention, it would have been obvious to one of ordinary skill in the art to modify Parker in view of Shannon by adopting teachings of Netopia to increase revenue and reduce costs while improving end-user satisfaction; apply a known technique to a known device (method, or product) ready for improvement to yield predictable results; known work in one field of endeavor may prompt variations of it for use in either the same field or a different one based on design incentives or other market forces if the variations would have been predictable to one of ordinary skill in the art.

Parker in view of Shannon and Netopia teaches concept and capability for:  
filtering and monitoring of data transmission in a multi-level system for a plurality of users operatively connected to the system via a network

defining a plurality of levels on a server of the system operatively connected to the network, wherein at least one level comprises filtering and monitoring (user will always be associated with his or her respective group) [Shanon, col. 4, lines 26 – 30, Col. 7, Lines 32 – 34];

establishing at the server a hierarchy for the plurality of levels (as explained earlier, parker teaches plurality of types of users). **It is old and known to one of ordinary skill in the art that professors have higher authority than TA's who have higher authority than end users**, and, Therefore, at the time of invention, it would have been obvious to one of ordinary skill in the art to modify assign different level to different type of users such that the user with lower authority will have access to subset of the user with the higher authority, apply a known technique to a known device

(method, or product) ready for improvement to yield predictable results;wherein the hierarchy defines levels that are above other levels and levels that are below other levels, and therefore, inherits any filtering and monitoring of levels above

creating a user account associated with the at least one of the plurality of levels on the server, wherein the user account controls filtering and monitoring applied to other user accounts associated with levels below the at least one of the plurality of levels **(implementing group level access technology to manage system access is old and known to one of ordinary skill in the art).**

Regarding claim 3, Parker in view of Shannon and Netopia teaches concept and capability wherein the user account associated with the at least one of the plurality of levels is able to designate the filtering and monitoring control of the user account to at least one of the other user accounts associated with levels below the at least one of the plurality of levels **(old and known to one of ordinary skill in the art that a person/operator with administrative control is able to configure access limitations of the users who have lower authority).**

Regarding claim 4, Parker in view of Shannon and Netopia teaches concept and capability wherein the designated filtering and monitoring control can be implemented such that it is less than the filtering and monitoring control of the user account associated with the at least one of the plurality of levels.

Regarding claim 5, as responded to earlier, Parker in view of Shannon and Netopia teaches concept and capability wherein the at least one of the other user accounts to which the filtering and monitoring control of the user account has been designated is able to designate as much of the filtering and monitoring control that has been designated to the at least one of the other user accounts to another of the other user accounts associated with levels at or below the level associated with the at least one of the other user accounts.

Regarding claim 6, Parker in view of Shannon and Netopia teaches concept and capability wherein the filtering and monitoring can be for outgoing data transmissions.

Regarding claim 7, Parker in view of Shannon and Netopia teaches concept and capability wherein the filtering and monitoring can be for incoming data transmissions.

Regarding claim 8, Parker Parker in view of Shannon and Netopia teaches concept and capability wherein the filtering and monitoring can be for electronic mail.

Regarding claim 9, Parker in view of Shannon and Netopia teaches concept and capability wherein the filtering and monitoring can be for attachments to electronic mail.

Regarding claim 10, Parker in view of Shannon and Netopia teaches concept and capability wherein the filtering and monitoring can be for incoming and outgoing



data transmissions.

Regarding claim 11, Parker in view of Shannon and Netopia teaches concept and capability wherein the filtering and monitoring can be based on a plurality of keywords in a master flagged list.

Regarding claim 12, Parker in view of Shannon and Netopia teaches concept and capability wherein the filtering and monitoring routes a data transmission that can include one of the plurality of keywords to an administrator.

Regarding claim 13, Parker Parker in view of Shannon and Netopia teaches concept and capability wherein the filtering and monitoring routes to an administrator a data transmission that can include a subset of the plurality of keywords only when the subset of keywords appears in the data transmission in a predefined sequence.

Regarding claim 14, Parker in view of Shannon and Netopia teaches concept and capability wherein the user account associated with the at least one of the plurality of levels can be able to modify the master flagged list.

Regarding claim 15, as responded to earlier, Parker in view of Shannon and Netopia teaches concept and capability wherein the user account associated with the at least one of the plurality of levels is able to designate the filtering and monitoring control

of the user account to at least one of the other user accounts associated with levels below the at least one of the plurality of levels so that the at least one of the other user accounts is able to customize the master flagged list.

### ***Conclusion***

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Applicant is required under 37 CFR '1.111 (c) to consider the references fully when responding to this office action.

#### **1. Safety: Monitoring Web Access**

Any inquiry concerning this communication or earlier communications from the examiner should be directed to NARESH VIG whose telephone number is (571)272-6810. The examiner can normally be reached on Mon-Thu 7:00 - 5:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Weiss can be reached on (571) 272-6812. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

November 09, 2009

/Naresh Vig/  
Primary Examiner, Art Unit 3629